

# Exhibit 46

## UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO

(PAINWEBER JACKSON & CURTIS INCORPORATED OF PUERTO RICO,PAINWEBER INCORPORATED OF PUERTO RICO,UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO,UBS PAINWEBER INCORPORATED OF PUERTO RICO)

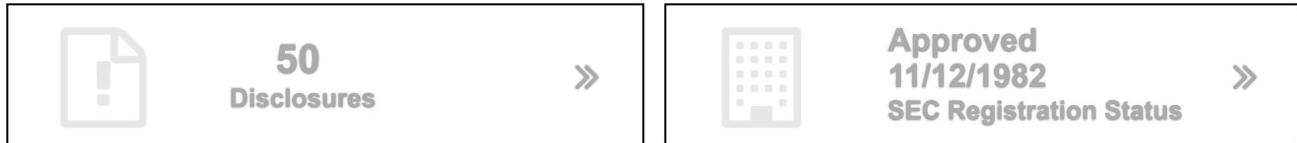
CRD#: 13042/SEC#: 8-28475

 Brokerage Firm *Regulated by FINRA (Woodbridge district office)*

### MAIN ADDRESS

250 MUNOZ RIVERA AVENUE  
HATO REY, PR 00918 UNITED STATES

Relationship Summary



Disclosures 

**50 Total Disclosures**



For details of these disclosures refer to the [Detailed Report](#).

### General Information

Main Office Location      250 MUNOZ RIVERA AVENUE  
                                  HATO REY, PR 00918 UNITED STATES

## Mailing Address

1000 HARBOR BLVD

8TH FLOOR, COMPLIANCE DEPARTMENT  
WEEHAWKEN, NJ 07086 UNITED STATES

## Phone

787-250-3681

## Established in

Puerto Rico since 04/05/1978

## Type

Corporation

## Fiscal Year End

December

**Direct Owners and Executive Officers**

UBS FINANCIAL SERVICES INC. (CRD#:8174)  
OWNER

---

GONZALEZ, RICARDO ALBERTO JR (CRD#:1460620)  
DIRECTOR

---

GRAU BRULL, JOSE H (CRD#:2479941)  
CFO

---

MANZ, ALEXANDRE CYRIL (CRD#:5214595)  
GENERAL COUNSEL, EXECUTIVE DIRECTOR

---

SERRANO, RAUL (CRD#:6608747)  
CHIEF COMPLIANCE OFFICER

---

UBINAS TAYLOR, CARLOS VERNER (CRD#:1985568)  
CHAIRMAN, PRESIDENT

---

## Licenses

**1 U.S. State and Territory**

Puerto Rico

**Other Registrations**

**Federal**

- SEC

**Self-Regulatory Organizations**

- FINRA
- And 1 other. See [Detailed Report](#).

This firm conducts 19 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

**Additional Information**

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

Click [here](#) for more information about how to check on an investment professional.

**B** Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

**IA** Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser. Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

 Previously Registered

A Previously Registered broker or brokerage firm is not currently licensed to act as a broker (buying and selling securities on behalf of customers) or as an investment adviser (providing advice about securities to clients). They may still be able to offer other investment-related services if properly licensed to do so. Click [here](#) to learn more.

 Disclosures

Disclosures can be customer complaints or arbitrations, regulatory actions, employment terminations, bankruptcy filings and certain civil or criminal proceedings that they were a part of.

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# Exhibit 47

## POPULAR SECURITIES, LLC [Show All \(6\) ▾](#)

(BP CAPITAL MARKETS, INC.,CS FIRST BOSTON (PUERTO RICO), INC.,FIRST BOSTON (PUERTO RICO), INC.,POPULAR ONE,POPULAR SECURITIES, INC....)

CRD#: 8096/SEC#: 801-57928,8-24216



Brokerage Firm *Regulated by FINRA (Florida district office)*



Investment Adviser Firm  [Visit SEC](#)

### MAIN ADDRESS

208 AVENUE PONCE DE LEON  
POPULAR CENTER SUITE 1200  
SAN JUAN, PR 00918-1035 UNITED STATES

[Relationship Summary](#)



**11**  
Disclosures



**Approved**  
11/16/1979   
SEC Registration Status



Limited Liability  
Company  
Company Type



**SEC**  
1 Self-Regulatory Org   
36 U.S. States & Territories

Disclosures

**11** Total Disclosures

Regulatory Event



6

Arbitration



5

For details of these disclosures refer to the [Detailed Report](#).

### General Information

Main Office Location

208 AVENUE PONCE DE LEON  
POPULAR CENTER SUITE 1200

Mailing Address                    208 AVENUE PONCE DE LEON  
    POPULAR CENTER SUITE 1200  
    SAN JUAN, PR 00918-1035 UNITED STATES

Phone                                (787)766-4200

Established in                    Puerto Rico since 01/01/2014

Type                                Limited Liability Company

Fiscal Year End                December

### **Direct Owners and Executive Officers**

POPULAR, INC.  
HOLDING COMPANY

---

**ACOSTA-ASHBY, MARLA MARIE (CRD#:3256258)**  
CHIEF OPERATING OFFICER AND ELECTED MANAGER

---

ALVAREZ ZATARAIN, IGNACIO (CRD#:7031136)  
ELECTED MANAGER

---

CARRION, RICHARD L  
ELECTED MANAGER

---

**COLON ORTIZ, ROSA ANGELA (CRD#:4202101)**  
CHIEF COMPLIANCE OFFICER

---

DIAZ DEL LLANO, BEATRIZ L  
PRINCIPAL FINANCIAL OFFICER

---

GUERRERO PRESTON, JUAN O  
ELECTED MANAGER

---

**MERHEB-EMANUELLI, JOSE ALFREDO (CRD#:5435788)**  
BRANCH MANAGER

---

TORO LAVERGNE, JAIME ANTONIO (CRD#:5984147)  
PRESIDENT AND ELECTED MANAGER

---

TORRES RAMOS, JOSE JOAQUIN (CRD#:1684523)  
PRINCIPAL OPERATIONS OFFICER

---

VAZQUEZ CAMUNAS, CARLOS JOSE  
ELECTED MANAGER

---

Licenses

## 36 U.S. States and Territories

<input type="radio"/> B	Alabama	<input type="radio"/> B	Minnesota
<input type="radio"/> B	Arizona	<input type="radio"/> B	Mississippi
<input type="radio"/> B	Arkansas	<input type="radio"/> B	Nevada
<input type="radio"/> B	California	<input type="radio"/> B	New Jersey
<input type="radio"/> B	Colorado	<input type="radio"/> B	New Mexico
<input type="radio"/> B	Connecticut	<input type="radio"/> B	New York
<input type="radio"/> B	Delaware	<input type="radio"/> B	North Carolina
<input type="radio"/> B	District of Columbia	<input type="radio"/> B	Ohio
<input type="radio"/> B	Florida	<input type="radio"/> B	Oregon
<input type="radio"/> B	Georgia	<input type="radio"/> B	Pennsylvania
<input type="radio"/> B	Illinois	<input type="radio"/> B	Puerto Rico
<input type="radio"/> B	Indiana	<input type="radio"/> B	South Carolina



Iowa



Tennessee



Kansas



Texas



Louisiana



Virgin Islands



Maryland



Virginia



Massachusetts



Washington

## **Other Registrations**



Wisconsin

## **Federal**

- SEC

## **Self-Regulatory Organizations**

- FINRA

This firm conducts 22 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

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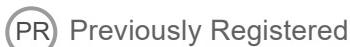
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# Exhibit 48

## SANTANDER SECURITIES LLC

(SANTANDER INVESTMENT SERVICES, SANTANDER SECURITIES, SANTANDER SECURITIES CORPORATION, SANTANDER SECURITIES CORPORATION OF PUERTO RICO, SANTANDER SECURITIES LLC)

CRD#: 41791/SEC#: 801-56796,8-49571

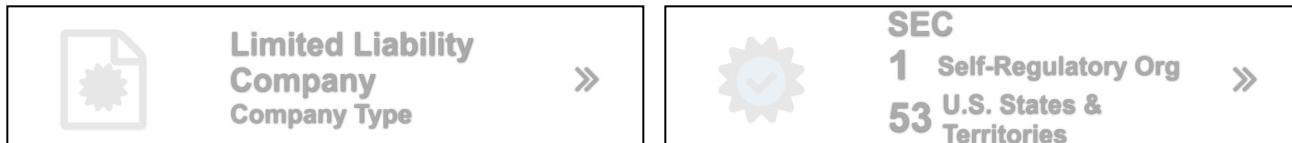
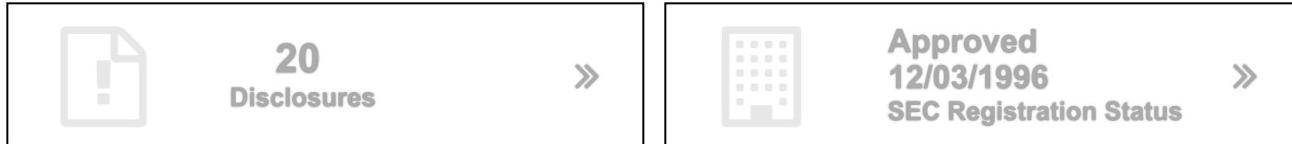
 B Brokerage Firm *Regulated by FINRA (Boston district office)*

 IA Investment Adviser Firm  Visit SEC

### MAIN ADDRESS

2 MORRISSEY BOULEVARD  
MAIL CODE: MA1-MB2-03-17  
DORCHESTER, MA 02125 UNITED STATES

[Relationship Summary](#)



Disclosures 

**20 Total Disclosures**



For details of these disclosures refer to the [Detailed Report](#).

General Information

Main Office Location

SANTANDER SECURITIES LTD - FINRA

Exhibit 46 to 58 Page 14 of 66

2 MORRISSEY BOULEVARD

MAIL CODE: MA1-MB2-03-17

DORCHESTER, MA 02125 UNITED STATES

Mailing Address

2 MORRISSEY BOULEVARD

MAIL CODE: MA1-MB2-03-17

DORCHESTER, MA 02125 UNITED STATES

Phone

866-736-6475

Established in

Puerto Rico since 11/03/2011

Type

Limited Liability Company

Fiscal Year End

December

### Direct Owners and Executive Officers

SANTANDER HOLDINGS USA, INC.

DIRECT OWNER

ALVAREZ DE SOTO, JUAN CARLOS (CRD#:2589842)

DIRECTOR

CANNY, COLLEEN (CRD#:6533423)

DIRECTOR

CARTER, LAWRENCE ANDREW (CRD#:2113682)

CHIEF COMPLIANCE OFFICER

DRAGO, FRANK P (CRD#:1488658)

DIRECTOR

FAIRBANKS, MAURA KEEGAN (CRD#:5738071)

CHIEF OPERATIONS OFFICER

SNYDER, JONATHAN ANDREW (CRD#:6514215)

CHIEF FINANCIAL OFFICER

---

VANNAH, JAMES (CRD#:5679595)  
CHIEF LEGAL OFFICER & SECRETARY

---

WEINER, JEFFREY STEPHEN (CRD#:2323856)  
PRESIDENT & CEO

---

Licenses

## 53 U.S. States and Territories

(B)	Alabama	(B)	Nebraska
(B)	Alaska	(B)	Nevada
(B)	Arizona	(B)	New Hampshire
(B)	Arkansas	(B)	New Jersey
(B)	California	(B)	New Mexico
(B)	Colorado	(B)	New York
(B)	Connecticut	(B)	North Carolina
(B)	Delaware	(B)	North Dakota
(B)	District of Columbia	(B)	Ohio
(B)	Florida	(B)	Oklahoma
(B)	Georgia	(B)	Oregon
(B)	Hawaii	(B)	Pennsylvania

(B)	Idaho	(B)	Puerto Rico
(B)	Illinois	(B)	Rhode Island
(B)	Indiana	(B)	South Carolina
(B)	Iowa	(B)	South Dakota
(B)	Kansas	(B)	Tennessee
(B)	Kentucky	(B)	Texas
(B)	Louisiana	(B)	Utah
(B)	Maine	(B)	Vermont
(B)	Maryland	(B)	Virgin Islands
(B)	Massachusetts	(B)	Virginia
(B)	Michigan	(B)	Washington
(B)	Minnesota	(B)	West Virginia
(B)	Mississippi	(B)	Wisconsin
(B)	Missouri	(B)	Wyoming

## **Other Registrations**

### **Federal**

- SEC

### **Self-Regulatory Organizations**

- FINRA

This firm conducts 21 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

### Additional Information

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#### IA Investment Adviser

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#### PR Previously Registered

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#### Disclosures

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# Exhibit 49



Banks

Reports & Analysis

Reference Tables

Data Download

Help ▾

FDIC.gov > Industry Analysis > Bank Data & Statistics > Banks > BankFind > Bank Information

[Return to BankFind Results](#)

## Banco Bilbao Vizcaya Argentaria Puerto Rico(FDIC # 19919)

Inactive as of December 18, 2012

Merged or acquired without government assistance

Data as of: August 23, 2020

Banco Bilbao Vizcaya Argentaria Puerto Rico is no longer doing business under that name because it has been merged or acquired without government assistance. See the successor institution, [Oriental Bank \(FDIC #: 31469\)](#)



FDIC Certificate#:	19919	Established:	February 25, 1969	Contact the FDIC about:
Headquarters:	Torre Bbva, Avenida 254 Munoz Rivera Avenue, 15th Floor San Juan, PR 00918 San Juan County	Insured: -----	March 20, 1969 Non-member of the Federal Reserve System	<a href="#">Banco Bilbao Vizcaya Argentaria Puerto Rico</a> <a href="#">or Oriental Bank</a>

Locations

History

Identifications

Financials

Other Names /  
Websites

Location information is not available for inactive or renamed banks

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# Exhibit 50

## CITIGROUP GLOBAL MARKETS INC. [Show All \(35\) ▾](#)

(CAPITAL MANAGEMENT DIVISION,CITI INSTITUTIONAL CONSULTING,CITI INVESTMENT MANAGEMENT,CITI PERSONAL INVESTMENTS INTERNATIONAL,CITI PERSONAL WEALTH MANAGEMENT...)

CRD#: 7059/SEC#: 801-3387,8-8177

 **B** Brokerage Firm *Regulated by FINRA (New York district office)*

 **IA** Investment Adviser Firm  [Visit SEC](#)

### MAIN ADDRESS

388 GREENWICH STREET  
TOWER BUILDING  
NEW YORK, NY 10013 UNITED STATES

[Relationship Summary](#)

 **1184**  
Disclosures 

 **Approved**  
01/25/1960   
SEC Registration Status

 **Corporation**  
Company Type 

 **SEC**  
24 Self-Regulatory Orgs   
53 U.S. States & Territories

Disclosures 

**1184 Total Disclosures**

Regulatory Event  541

Civil Event  4

Arbitration  639

For details of these disclosures refer to the [Detailed Report](#).

General Information

Main Office Location

Exhibit 46 to 58 Page 23 of 66

388 GREENWICH STREET

TOWER BUILDING

NEW YORK, NY 10013 UNITED STATES

Mailing Address

REGISTRATION DEPARTMENT  
540 CROSSPOINT PARKWAY  
GETZVILLE, NY 14068 UNITED STATES

Phone

212-816-6000

Established in

New York since 10/15/1998

Type

Corporation

Fiscal Year End

December

**Direct Owners and Executive Officers**CITIGROUP FINANCIAL PRODUCTS INC.  
100% SHAREHOLDER

---

**ARNOLD, EDWARD RAYMOND (CRD#:1876464)**  
CHIEF COMPLIANCE OFFICER - EQUITIES AND EQUITIES DERIVATIVES

---

**CUMMINGS, JOHN W (CRD#:2729018)**  
DIRECTOR

---

**DUNN, DEIRDRE KATHLEEN (CRD#:3265777)**  
DIRECTOR

---

**FLOOD, SCOTT LEROY**  
CO-GENERAL COUNSEL

---

**KEEGAN, DANIEL LAURENCE (CRD#:2756125)**  
DIRECTOR

KEEGAN, DANIEL LAURENCE (CRD#:2756125)

CEO/CHAIRMAN/PRESIDENT

---

KURSMAN, SCOTT CHARLES (CRD#:2590327)

CHIEF COMPLIANCE OFFICER

---

LEACH, JONATHAN (CRD#:4317415)

DIRECTOR

---

MESHEL, ADAM REID (CRD#:3101145)

CO-GENERAL COUNSEL

---

PALOMAKI, DANIEL SCOTT (CRD#:6817317)

PRINCIPAL FINANCIAL OFFICER

---

PLATT, DANA LYNN (CRD#:6123347)

CHIEF COMPLIANCE OFFICER - INVESTMENT ADVISORY BUSINESSES

---

TROMBETTA, SANTO VITO (CRD#:2068210)

PRINCIPAL OPERATIONS OFFICERS (FINOP)

---

YARBROUGH, TED KIRK (CRD#:2086078)

DIRECTOR

## Licenses

### 53 U.S. States and Territories



Alabama



Nebraska



Alaska



Nevada



Arizona



New Hampshire



Arkansas



New Jersey



California



New Mexico

(B)	Colorado	(B)	New York
(B)	Connecticut	(B)	North Carolina
(B)	Delaware	(B)	North Dakota
(B)	District of Columbia	(B)	Ohio
(B)	Florida	(B)	Oklahoma
(B)	Georgia	(B)	Oregon
(B)	Hawaii	(B)	Pennsylvania
(B)	Idaho	(B)	Puerto Rico
(B)	Illinois	(B)	Rhode Island
(B)	Indiana	(B)	South Carolina
(B)	Iowa	(B)	South Dakota
(B)	Kansas	(B)	Tennessee
(B)	Kentucky	(B)	Texas
(B)	Louisiana	(B)	Utah
(B)	Maine	(B)	Vermont
(B)	Maryland	(B)	Virgin Islands
(B)	Massachusetts	(B)	Virginia
(B)	Michigan	(B)	Washington
(B)	Minnesota	(B)	West Virginia
(B)	Mississippi	(B)	Wisconsin



Missouri



Wyoming



Montana

## Other Registrations

### Federal

- SEC

### Self-Regulatory Organizations

- FINRA
- And 23 others. See [Detailed Report](#).

This firm conducts 25 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

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 Investment Adviser

Exhibit 46 to 58 Page 27 of 66

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# Exhibit 51

## LEHMAN BROTHERS INC. Show All (9) ▾

(LEHMAN BROTHERS, LEHMAN BROTHERS INC., LEHMAN BROTHERS MARKET MAKERS, LEHMAN BROTHERS, INC., SHEARSON LEHMAN BROTHERS INC....)

CRD#: 7506/SEC#: 801-3701,8-12324



Brokerage Firm *Regulated by FINRA (New York district office)*



Previously Registered Investment Adviser Firm [Visit SEC](#)

This firm is in receivership. In receivership, an individual is appointed by a court to wind down the business of a firm that cannot meet its financial obligations.

### MAIN ADDRESS

100 WALL STREET  
17TH FLOOR  
NEW YORK, NY 10005 UNITED STATES



Disclosures

**887** Total Disclosures

Regulatory Event 359

Civil Event 1

Arbitration 527

For details of these disclosures refer to the [Detailed Report](#).

### General Information

Main Office Location 100 WALL STREET

Mailing Address                    100 WALL STREET  
    17TH FLOOR  
    NEW YORK, NY 10005 UNITED STATES

Phone                                646-348-7100

Established in                      Delaware since 01/21/1965

Type                                  Corporation

Fiscal Year End                    November

### **Direct Owners and Executive Officers**

LEHMAN BROTHERS HOLDINGS INC.  
SOLE SHAREHOLDER

---

CLARK, HOWARD LONGSTRETH JR (CRD#:47587)  
DIRECTOR

---

CRUIKSHANK, THOMAS HENRY (CRD#:4708135)  
DIRECTOR

---

FREIDHEIM, SCOTT JON (CRD#:1766230)  
CO-CHIEF ADMINISTRATIVE OFFICER

---

FULD, RICHARD SEVERIN JR (CRD#:215527)  
DIRECTOR/CHAIRMAN AND CEO

---

LOWITT, IAN THEO (CRD#:4210205)  
CO-CHIEF ADMINISTRATIVE OFFICER

---

MCDADE III, HERBERT H. (CRD#:1185218)  
PRESIDENT AND CHIEF OPERATING OFFICER

---

RUSSO, THOMAS ANTHONY (CRD#:3188169)  
CHIEF LEGAL OFFICER

## Licenses

### Other Registrations

### Self-Regulatory Organizations

- FINRA

This firm conducts 22 types of business

This firm is affiliated with financial and investment institutions

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 Previously Registered

A Previously Registered broker or brokerage firm is not currently licensed to act as a broker (buying and selling securities on behalf of customers) or as an investment adviser (providing advice about securities to clients). They may still be able to offer other investment-related services if properly licensed to do so. Click [here](#) to learn more.

 Disclosures

Disclosures can be customer complaints or arbitrations, regulatory actions, employment terminations, bankruptcy filings and certain civil or criminal proceedings that they were a part of.

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# Exhibit 52

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

(MERRILL LYNCH PIERCE FENNER &amp; SMITH,MERRILL LYNCH PIERCE FENNER &amp; SMITH INC.,MERRILL LYNCH, PIERCE, FENNER &amp; SMITH INCORPORATED)

CRD#: 7691/SEC#: 801-14235,8-7221

Brokerage Firm *Regulated by FINRA (New York district office)*Investment Adviser Firm [Visit SEC](#)**MAIN ADDRESS**ONE BRYANT PARK  
NEW YORK, NY 10036 UNITED STATES[Relationship Summary](#)**1452**  
Disclosures **Approved**  
03/12/1959  
SEC Registration Status Corporation  
Company Type **SEC**  
10 Self-Regulatory Orgs   
53 U.S. States &  
Territories

Disclosures

**1452 Total Disclosures**

Regulatory Event

574

Civil Event

5

Arbitration

873

For details of these disclosures refer to the [Detailed Report](#).**General Information**

Main Office Location

ONE BRYANT PARK

Mailing Address                    222 BROADWAY  
    NY3-222-12-05  
    NEW YORK, NY 10038 UNITED STATES

Phone                                800-637-7455

Established in                     Delaware since 11/10/1958

Type                                 Corporation

Fiscal Year End                   December

### Direct Owners and Executive Officers

BAC NORTH AMERICA HOLDING COMPANY  
SHAREHOLDER

---

ALAM, SYED FARUQE (CRD#:2394838)

CHIEF FINANCIAL OFFICER

---

BANKS, KEITH THOMAS (CRD#:2460880)

DIRECTOR

---

GRECO, GLORIA REGINA (CRD#:4795234)

CHIEF COMPLIANCE OFFICER

---

GUARDINO, JOSEPH ANTHONY JR (CRD#:2907957)

CHIEF OPERATIONS OFFICER & FINOP

---

HANS, LINDSAY DENARDO (CRD#:4429443)

STATE DESIGNATED PRINCIPAL

---

HEATON, DAVID CARLETON JR (CRD#:5972432)

CHIEF LEGAL OFFICER

---

HILL, KIRSTIN NILSSON (CRD#:3276506)

STATE DESIGNATED PRINCIPAL

---

LEVINE, ARON DANIEL (CRD#:4715408)

DIRECTOR

---

SABBIA, LORNA ROSE (CRD#:1873495)

DIRECTOR

---

SIEG, ANDREW MASON (CRD#:4218535)

DIRECTOR; CHIEF EXECUTIVE OFFICER; STATE DESIGNATED PRINCIPAL

---

Licenses

## 53 U.S. States and Territories



Alabama



Alaska



Arizona



Arkansas



California



Colorado



Connecticut



Delaware



District of Columbia



Florida



Georgia



Hawaii



Nebraska



Nevada



New Hampshire



New Jersey



New Mexico



New York



North Carolina



North Dakota



Ohio



Oklahoma



Oregon



Pennsylvania

(B)	Idaho	(B)	Puerto Rico
(B)	Illinois	(B)	Rhode Island
(B)	Indiana	(B)	South Carolina
(B)	Iowa	(B)	South Dakota
(B)	Kansas	(B)	Tennessee
(B)	Kentucky	(B)	Texas
(B)	Louisiana	(B)	Utah
(B)	Maine	(B)	Vermont
(B)	Maryland	(B)	Virgin Islands
(B)	Massachusetts	(B)	Virginia
(B)	Michigan	(B)	Washington
(B)	Minnesota	(B)	West Virginia
(B)	Mississippi	(B)	Wisconsin
(B)	Missouri	(B)	Wyoming

## **Broker Registrations**

### **Federal**

- SEC

### **Self-Regulatory Organizations**

- FINRA
- And 9 others. See [Detailed Report](#).

This firm conducts 21 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

### Additional Information

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

Click [here](#) for more information about how to check on an investment professional.

#### B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

#### IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser. Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

#### PR Previously Registered

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#### Disclosures

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# Exhibit 53

## ORIENTAL FINANCIAL SERVICES LLC

(ORIENTAL FINANCIAL SERVICES, ORIENTAL FINANCIAL SERVICES CORP., ORIENTAL FINANCIAL SERVICES LLC, ORIENTAL WEALTH MANAGEMENT)

CRD#: 29753/SEC#: 801-88203,8-44516



Brokerage Firm *Regulated by FINRA (Florida district office)*



Investment Adviser Firm [Visit SEC](#)

### MAIN ADDRESS

254 MUÑOZ RIVERA AVE 2ND FLOOR  
ORIENTAL GROUP CENTER  
SAN JUAN, PR 00918 UNITED STATES

[Relationship Summary](#)



9  
Disclosures



Approved  
08/10/1992  
[SEC Registration Status](#)



Limited Liability  
Company  
Company Type



SEC  
1 Self-Regulatory Org   
8 U.S. States & Territories

Disclosures

**9 Total Disclosures**

Regulatory Event



5

Arbitration



4

For details of these disclosures refer to the [Detailed Report](#).

### General Information

Main Office Location

254 MUÑOZ RIVERA AVE 2ND FLOOR  
ORIENTAL GROUP CENTER

Mailing Address                    P.O. BOX 195119  
    SAN JUAN, PR 00919-5119 UNITED STATES

Phone                                787-474-1993

Established in                    Puerto Rico since 12/30/2019

Type                                Limited Liability Company

Fiscal Year End                 December

### Direct Owners and Executive Officers

OFG BANCORP  
PARENT COMPANY , MEMBER

---

**FERNANDEZ MARTINEZ, JOSE RAFAEL (CRD#:1556546)**  
OPTIONS PRINCIPAL, AND DIRECTOR

---

KUMAR, GANESH (CRD#:6120016)  
DIRECTOR

---

**MARBARAK, SONIA EMILIA (CRD#:1498281)**  
CHIEF COMPLIANCE OFFICER

---

**MILES BARBOSA, SEAN WARREN (CRD#:2340356)**  
PRESIDENT

---

**MUNOZ GALARZA, GLENDA L. (CRD#:5037917)**  
FINANCIAL AND OPERATIONS MANAGER

---

SOUFFRONT, CARLOS O. ESQ. (CRD#:6272950)  
DIRECTOR

---

Licenses

**8 U.S. States and Territories**

 District of Columbia	 New York
 Florida	 Puerto Rico
 Michigan	 Texas
 New Jersey	 Virginia

## Other Registrations

### Federal

-  SEC

### Self-Regulatory Organizations

-  FINRA

This firm conducts 19 types of business

This firm is affiliated with financial and investment institutions

This firm does not have referral or financial arrangements with other brokers or dealers

### Additional Information

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A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customers (as broker) for its  
<https://brokercheck.finra.org/firm/summary/29753>

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

 IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services. It is common for a financial professional to act as both a broker and an investment adviser. Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

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# Exhibit 54

**SAMUEL A RAMIREZ & CO., INC.** Show All (7) ✓

(RAMIREZ,RAMIREZ & CO., INC,RAMIREZ & CO., INC.,SAMUEL A RAMIREZ & CO., INC.,SAMUEL A RAMIREZ & CO.,INC....)

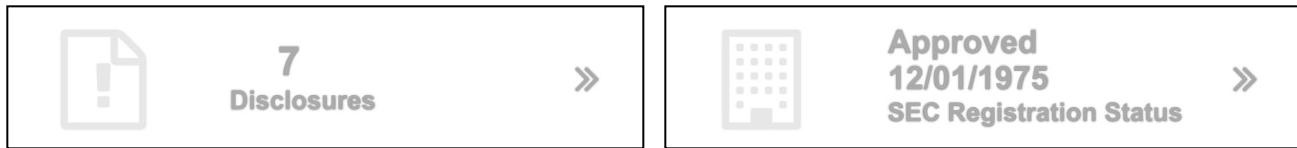
CRD#: 6963/SEC#: 8-19014

 Brokerage Firm *Regulated by FINRA (New York district office)*

**MAIN ADDRESS**

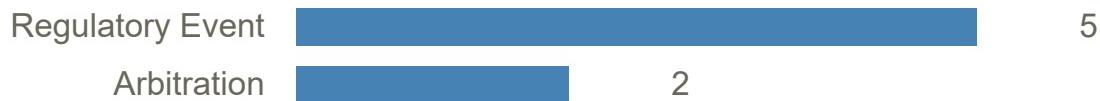
61 BROADWAY 29 TH FLOOR  
NEW YORK, NY 10006 UNITED STATES

Relationship Summary



Disclosures 

**7 Total Disclosures**



For details of these disclosures refer to the [Detailed Report](#).

General Information

Main Office Location	61 BROADWAY 29 TH FLOOR NEW YORK, NY 10006 UNITED STATES
Mailing Address	61 BROADWAY 29 TH FLOOR

Phone 212-248-0500

Established in New York since 12/31/1971

Type Corporation

Fiscal Year End September

### Direct Owners and Executive Officers

SAR HOLDINGS, INC.  
HOLDING COMPANY

---

GOLDMAN, LAWRENCE F (CRD#:1134640)  
MANAGING DIRECTOR

---

KICK, MICHAEL J (CRD#:4480676)  
SR. VP/ CFO/ FIN OP

---

KOFFER, JOSEPH (CRD#:6043686)  
CHIEF COMPLIANCE OFFICER

---

MAZZARO, VINCENT ANTHONY (CRD#:2665339)  
COO

---

MEYERS, MARY MARGARET (CRD#:333365)  
MANAGING DIRECTOR

---

PERROTTA, THOMAS (CRD#:1864851)  
MANAGING DIRECTOR

---

RAMIREZ, SAMUEL ALFRED (CRD#:827095)  
PRESIDENT & DIRECTOR/SECRETARY

---

RAMIREZ, SAMUEL ALFRED JR (CRD#:2261054)  
MANAGING DIRECTOR

### Licenses

## 50 U.S. States and Territories

<input type="radio"/> B	Alaska	<input type="radio"/> B	Montana
<input type="radio"/> B	Arizona	<input type="radio"/> B	Nebraska
<input type="radio"/> B	Arkansas	<input type="radio"/> B	Nevada
<input type="radio"/> B	California	<input type="radio"/> B	New Hampshire
<input type="radio"/> B	Colorado	<input type="radio"/> B	New Jersey
<input type="radio"/> B	Connecticut	<input type="radio"/> B	New Mexico
<input type="radio"/> B	Delaware	<input type="radio"/> B	New York
<input type="radio"/> B	District of Columbia	<input type="radio"/> B	North Carolina
<input type="radio"/> B	Florida	<input type="radio"/> B	Ohio
<input type="radio"/> B	Georgia	<input type="radio"/> B	Oklahoma
<input type="radio"/> B	Hawaii	<input type="radio"/> B	Oregon
<input type="radio"/> B	Idaho	<input type="radio"/> B	Pennsylvania
<input type="radio"/> B	Illinois	<input type="radio"/> B	Puerto Rico
<input type="radio"/> B	Indiana	<input type="radio"/> B	Rhode Island
<input type="radio"/> B	Iowa	<input type="radio"/> B	South Carolina
<input type="radio"/> B	Kansas	<input type="radio"/> B	South Dakota
<input type="radio"/> B	Kentucky	<input type="radio"/> B	Tennessee
<input type="radio"/> B	Louisiana	<input type="radio"/> B	Texas

<input type="radio"/> B	Maine	<input type="radio"/> B	Utah
<input type="radio"/> B	Maryland	<input type="radio"/> B	Vermont
<input type="radio"/> B	Massachusetts	<input type="radio"/> B	Virginia
<input type="radio"/> B	Michigan	<input type="radio"/> B	Washington
<input type="radio"/> B	Minnesota	<input type="radio"/> B	West Virginia
<input type="radio"/> B	Mississippi	<input type="radio"/> B	Wisconsin
<input type="radio"/> B	Missouri	<input type="radio"/> B	Wyoming

## Other Registrations

### Federal

- SEC

### Self-Regulatory Organizations

- FINRA

This firm conducts 17 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

## Additional Information

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### PR Previously Registered

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### Disclosures

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# Exhibit 55



Banks

Reports & Analysis

Reference Tables

Data Download

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[Return to BankFind Results](#)

## Scotiabank de Puerto Rico(FDIC # 22946)

Inactive as of December 31, 2019

Merged or acquired without government assistance

Data as of: August 23, 2020

Scotiabank de Puerto Rico is no longer doing business under that name because it has been merged or acquired without government assistance.  
See the successor institution,[Oriental Bank \(FDIC #: 31469\)](#)



FDIC Certificate#:	22946	Established:	September 7, 1979	Contact the FDIC about:
Headquarters:	290 Jesus T. Pinero Avenue San Juan, PR 00918 San Juan County	Insured: Bank Charter Class: -----	September 7, 1979 Non-member of the Federal Reserve System	<a href="#">Scotiabank de Puerto Rico</a> or <a href="#">Oriental Bank</a>

Locations

History

Identifications

Financials

Other Names /  
Websites

Location information is not available for inactive or renamed banks

# Exhibit 56

**TCM CAPITAL, INC.**

(TCM CAPITAL, INC.)

CRD#: 129569/SEC#: 8-66232

 PR Previously Registered Brokerage Firm

**Not currently registered as broker**



0  
Disclosures



Terminated  
07/12/2008  
SEC Registration Status 



Corporation  
Company Type 



0 Self-Regulatory Orgs

**General Information**

Established in Puerto Rico since 05/08/2003

Type Corporation

Fiscal Year End December

**Direct Owners and Executive Officers**

CANTERO-FRAU, RAMON (CRD#:850297)  
OWNER/PRINCIPAL, CHIEF COMPLIANCE OFFICER, FINOP

SR. RAMON CANTERO FRAU RETIREMENT PLAN SERIES 95-1087  
SHAREHOLDER

FIGUEROA, CESAR ANTONIO (CRD#:3176311)  
SHAREHOLDER

PEREZ, JOSE ANTONIO (CRD#:2810599)

SHAREHOLDER

ALBANI, GUARDO MEDOLAGO (CRD#:2279)

PRINCIPAL, SROP, CROP

### Additional Information

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# Exhibit 57

## WELLS FARGO SECURITIES, LLC

(WACHOVIA CAPITAL MARKETS, LLC,WACHOVIA CORPORATE & INVESTMENT BANKING,  
LLC,WELLS FARGO CORPORATE AND& INVESTMENT BANKING,WELLS FARGO  
SECURITIES,WELLS FARGO SECURITIES, LLC)

CRD#: 126292/SEC#: 8-65876

 Brokerage Firm *Regulated by FINRA (Atlanta district office)*

### MAIN ADDRESS

550 SOUTH TRYON STREET, 6TH FLOOR  
D1086-060  
CHARLOTTE, NC 28202 USA

Relationship Summary



142  
Disclosures



Approved  
05/29/2003  
SEC Registration Status



Limited Liability  
Company  
Company Type



SEC  
24 Self-Regulatory Orgs  
53 U.S. States &  
Territories

Disclosures 

**142 Total Disclosures**

Regulatory Event  141  
Civil Event | 1

For details of these disclosures refer to the [Detailed Report](#).

### General Information

Main Office Location

550 SOUTH TRYON STREET, 6TH FLOOR  
D1086-060  
CHARLOTTE, NC 28202 USA

Mailing Address                    550 SOUTH TRYON STREET, 6TH FLOOR  
    D1086-060  
    CHARLOTTE, NC 28202 USA

Phone                                704-410-1913

Established in                     Delaware since 03/05/2003

Type                                 Limited Liability Company

Fiscal Year End                   December

### Direct Owners and Executive Officers

EVEREN CAPITAL CORPORATION  
PARENT

---

**ALLEN, RENEE MC LAUGHLIN (CRD#:1671337)**  
DEPUTY CHIEF COMPLIANCE OFFICER

---

**CHURCH, DUANE (CRD#:7075686)**  
CHIEF FINANCIAL OFFICER

---

**DOLHARE, WALTER ERNESTO (CRD#:2071314)**  
PRESIDENT/CEO/MANAGER

---

**ENGEL, ROBERT ANDREW (CRD#:1972255)**  
DIRECTOR/MANAGER

---

**KIKER, STEVEN MATTHEW (CRD#:5373298)**  
CHIEF OPERATING OFFICER/MANAGER

---

**MCGEOUGH, LISA MARIE (CRD#:1296590)**  
DIRECTOR/MANAGER

---

**MULLIGAN, ROBERT JOHN JR (CRD#:1584973)**  
CHIEF COMPLIANCE OFFICER/MANAGER

---

**PINK, CHRISTOPHER WILLIAM (CRD#:4564921)**  
DIRECTOR/MANAGER

Exhibit 46 to 58 Page 61 of 66  
PRIMAVERA, TODD GERALD (CRD#:2416001)

CHIEF OPERATIONS OFFICER

---

**SHREWSBERRY, JOHN RICHARD (CRD#:2264673)**

DIRECTOR/MANAGER

---

**SMITH, JEREMY B (CRD#:6288628)**

DIRECTOR/MANAGER

---

**THOMAS, DANIEL JEROME JR**

DIRECTOR/MANAGER

---

Licenses**53 U.S. States and Territories**

Alabama



Nebraska



Alaska



Nevada



Arizona



New Hampshire



Arkansas



New Jersey



California



New Mexico



Colorado



New York



Connecticut



North Carolina



Delaware



North Dakota



District of Columbia



Ohio



Florida



Oklahoma



Georgia



Oregon

(B)	Hawaii	(B)	Pennsylvania
(B)	Idaho	(B)	Puerto Rico
(B)	Illinois	(B)	Rhode Island
(B)	Indiana	(B)	South Carolina
(B)	Iowa	(B)	South Dakota
(B)	Kansas	(B)	Tennessee
(B)	Kentucky	(B)	Texas
(B)	Louisiana	(B)	Utah
(B)	Maine	(B)	Vermont
(B)	Maryland	(B)	Virgin Islands
(B)	Massachusetts	(B)	Virginia
(B)	Michigan	(B)	Washington
(B)	Minnesota	(B)	West Virginia
(B)	Mississippi	(B)	Wisconsin
(B)	Missouri	(B)	Wyoming
(B)	Montana		

## Other Registrations

### Federal

- SEC

### Self-Regulatory Organizations

- FINRA

- And 23 others. See [Detailed Report](#).

This firm conducts 17 types of business

This firm is affiliated with financial and investment institutions

This firm does have referral or financial arrangements with other brokers or dealers

#### Additional Information

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 Disclosures

## Exhibit 46 to 58 Page 64 of 66

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# Exhibit 58

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## Eurobank(FDIC # 27150)

Inactive as of April 30, 2010

Acquired with government assistance

Data as of: August 23, 2020

Eurobank is no longer doing business under that name because it has been acquired with government assistance. See the successor institution, [Oriental Bank \(FDIC #: 31469\)](#) 

FDIC Certificate#:	27150	Established:	June 1, 1980	Contact the FDIC about:
Headquarters:	Quebrada Arena Road #1, Km 24.5 San Juan, PR 00926 San Juan County	Insured: ----- Bank Charter Class: -----	December 28, 1987 Non-member of the Federal Reserve System	<a href="#">Eurobank</a> or <a href="#">Oriental Bank</a>

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Location information is not available for inactive or renamed banks